

# ABSTRACT OF JUDGMENT NOTICE

Pursuant to Title 28, United States Code, Section 3201, this judgment, upon the filing of this abstract in the manner in which a notice of tax lien would be filed under paragraphs (1) and (2) of 26 U.S.C. 6323(f), creates a lien on all real property of the defendant(s) and has priority over all other liens or encumbrances which are perfected later in time. The lien created by this section is effective, unless satisfied, for a period of 20 years and may be renewed by filing a notice of renewal. If such notice of renewal is filed before the expiration of the 20 year period to prevent the expiration of the lien and the court approves the renewal, the lien shall relate back to the date the judgment is filed.

Names and Addresses of Parties against whom Judgments have been obtained		Names of Parties in whose favor Judgments have been obtained
Robert A. Helms 11708 Rydalwater Lane Austin, TX 78754		UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Amount of Judgment	Names of Creditors' Attorneys	Docket Information
Civil Penalty:  \$4,221,058.00	Nancy Ellen Tyler Assistant Chief Litigation Counsel UNITED STATES SECURITIES AND EXCHANGE COMMISSION 100 F Street, NE, Mail Stop 5631 Washington, DC 20549-5631	Civil Action Number: 1:13-cv-01036-ML  Judgment Entry Date: 10/21/2015  Docket Number: 292

UNITED STATES OF AMERICA, CLERK'S OFFICE, U.S. DISTRICT COURT FOR THE

Western

DISTRICT OF

TEXAS

I CERTIFY that the foregoing is a correct Abstract of the Judgment entered or registered by this Court.

CITY (DATE) Austin, May 3, 2016

Jeannette J. Clack, Clerk.

By Deanna Massie, Deputy Clerk.